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THE RECORDS DISPOSITION PROCESS IN THE GOVERNMENT OF ALBERTA

PUB PWSS 140

Alberta
PUBLIC WORKS, SUPPLY AND SERVICES

THE RECORDS DISPOSITION PROCESS IN THE GOVERNMENT OF ALBERTA

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PREFACE

This publication is intended to be used as a training tool on the basic records management courses. It may also be used by the Public Records Officers and records analysts as a guide to the records disposition process in the Government of Alberta.

The information in this publication that pertains to matters within the purview of the Public Records Committee has been reviewed and endorsed by the Public Records Committee.

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Chapter 1

INTRODUCTION

1.1 Using the Manual

1. INTRODUCTION

1.1 Using the manual

This publication presents guidelines and procedures to assist in the planning and implementing of an organized records retention and disposition program.

The requirements for records retention and dispostion are outlined in Section 21 of the Department of Public Works, Supply and Services Act, and the Public Records Regulation (Alta. Reg. 373/83). The two basic requirements for records management in the Government of Alberta are:

a) no public records shall be destroyed without the approval of the Public Records Committee, and

b) each department shall have a duly appointed Public Records Officer charged with responsibility for records management in that department.

The Public Records Committee has established disposition authorization procedures based on the scheduling of records. An approved records schedule is a timetable that establishes a lifespan for each record from the time of creation through maintenance to final disposition. The final disposition may be a transfer to the Provincial Archives on a selective retention basis, or in its entirety, or outright destruction. The schedule becomes the department's authority to carry out the disposition of records according to approved terms.

It is the public records officer's task to develop records schedules in his or her department. Schedules promote efficiency and economy by reducing requirements for space, equipment and staff. This is achieved by keeping immediately needed records on-site and moving occasionally referenced material to economical storage facilities as soon as they considered inactive. The scheduling process provides for continuous identification and subsequent transfer of records of enduring value to the Provincial Archives.

This publication does **not** provide instruction in basic records management skills outside the records disposition process. It attempts to build on a presupposed background to give the reader some understanding of how records retention and disposition scheduling can be used both to meet cross-Government legal requirements and to support effective on-going operations in the department.

The content is a set of suggestions and guidelines rather than a set of rules to be followed without variation. The range of possible circumstances makes specific hard-and-fast rules impossible. The idea is to present the targets to be aimed for and ways that may be employed to work towards those targets.

The guide should be used as a training resource for all records management personnel. It will be useful both for new personnel and for other staff needing a periodic refresher on overall or specific subject areas.

Chapter 2

ESTABLISHING A RECORDS MANAGEMENT PROGRAM

2.1 Background

2.2 Carrying out a preliminary inventory

2.3 Preparing a records management program proposal

2.4 Implementing the approved program

2. ESTABLISHING A RECORDS MANAGEMENT PROGRAM

2.1 Background

One approach to records disposition is a project-by-crisis basis. For example, deciding which records can be stored and what records can be destroyed when on-site filing space becomes a problem, or when an office move is to take place. This approach will often be costly and unnecessarily disruptive to day-to-day operations.

A much more effective way of approaching disposition is as a part of an overall departmental records management program. This provides a meaningful context for each initiative. Without the kind of high level support provided by an approved records management program you will have to go through a major selling job for every new project. Developing **and selling** the program is the responsibility of the Public Records Officer.

Before embarking on preparation of a plan for an overall records management program be sure that you have an adequate background in:

— records management techniques, and
— knowledge of your department

Records management techniques include familiarity with the subject matter, experience in putting the theory into practice and a thorough knowledge of subject classification principles. These will enable you to handle the large volumes of records you will have to organize into manageable, well defined, and consistent subject areas, ready for evaluation.

You should have a general knowledge of various classification systems, and the advantages and disadvantages of each system, in order to isolate problems and solve them.

Your knowledge of your department should include its structure, functions, main filing systems and types of records in place. Invest a significant effort in becoming familiar with these. The credibility of your proposal for a records management program will be dependent on your understanding of your department in all its aspects.

Know the structure of your department and the functions of each area. These can be obtained by collecting and studying internal references such as:

— Acts and Regulations
— Policies and procedures manuals (both administrative and operational)
— Organization charts
— Annual reports
— Key departmental publications

The librarian in your department may identify other sources of information on your department.

It is essential when developing a records management program to identify the major filing systems and the types of records which exist within each system. The process of gathering this information is usually referred to as a **preliminary inventory**. Suggestions for carrying out a preliminary inventory are provided in section 2.2.

The preliminary inventory will provide the raw material for the preparation of a comprehensive departmental records management program proposal for management (see 2.3). After it is approved your next task will be to implement it, demonstrating the contribution it can make to the department's operations (see 2.4).

2.2 Carrying out a preliminary inventory

The first step towards establishing an overall records management program in the department is to identify the scope and content of the task involved. This is the purpose of a preliminary inventory. The idea is to document and develop an awareness of the major filing systems and types of records in place. This data provides the basis for development of the program.

No standard form exists for a preliminary inventory. Each department must develop its own format and plan to suit the situation.

The main data details to be assembled will be as follows:

- Division/branch
- Contact name(s), position(s) and telephone number(s)
- Date ranges covered
- Main area functions and activities, (including any special relationships)
- Major file series, (including a description of records series, format and media used, equipment used and total volumes of each)
- Current retention/disposition status (including existing disposition authorities, file series covered, retention periods, final disposition, and access restrictions)
- Supporting systems and processes in place, (e.g., bring forwards, charge-outs, cross references, file classification manuals, indexes)
- Areas of duplication
- User requirements and concerns
- Cost analysis data (e.g., equipment and space costs, projections of potential for savings with updated retention and disposition arrangements)
- Active and inactive systems

The work plan for gathering this information should be approved by senior department officials. The plan will outline the time frame for the completion of the preliminary inventory in each of the areas involved. Each area should be notified in advance as to the date when its records are to be examined. Any changes to the schedule should be made and those concerned advised promptly.

During the visit to each area to gather the data it will be important to include the following:

1. Explain the reason for the visit, purpose of the inventory, benefits of records management, request an initial guided tour with the responsible official and ask for a description of the key functions, responsibilities and work flows involved.

2. Identify and make a walk-through summary of all the active and inactive records storage locations and the major records series held.

3. Make notes (or use a dictation machine) to record details on the spot as they are identified.

4. Take photographs of areas where there is basis for special concern.

5. Count the pieces of equipment currently in use for storing records and the number of shelves or drawers in use.

6. Count roughly the total inches of each category of records stored. (The totals will be particularly useful in determining preliminary cost estimates for holding the records)

7. Make a note of all non-paper records such as floppy disks, hard disks, magnetic tapes, microfilm cartridges, aperture cards, cinefilm, audio tapes, photographic prints, and negatives.

8. Note the number of staff and percentage of time devoted to working with the records identified.

9. Gather copies of the forms used in the areas in a looseleaf notebook or file.

10. Special storage requirements due to format/size (e.g. rolled maps, oversized maps etc).

Following each visit, you should review your findings with the responsible official and ensure that you have adequate information for planning purposes. This information will answer questions such as:

— Are there frequent delays in finding information
— Are office and records areas often messy and cluttered
— Are duplicates of records stored at several different locations within the organization
— Are there specific procedures identified for minimizing the creation of records
— Are standard classification systems used for all organizational records or are there one-person systems in individual divisions, branches and offices
— Are inactive records currently stored in office space
— Is there one person in the division or branch who is responsible for the management of records

— Is there a current timetable or retention schedule in place which identifies how long all the organization's records are to be retained
— Have essential records been identified and are they receiving special storage protection
— Are there conflicts among personnel from various offices and divisions over usage and storage of records
— Is there a training and educational program for management, clerical, and records personnel about organization-wide records management

2.3 Preparing a records management program proposal

The preliminary inventory identifies the:

— scope and status of existing records management in the department

— number and size of the systems involved

— condition of each of the records areas

The first phase in the development of a proposal will be a thorough analysis of the preliminary inventory findings. This analysis should state where records management changes are urgent, and where major savings appear possible. The identified areas should be placed in priority positions in a long-term plan for implementing records scheduling throughout the department.

The initial overview plan should be reviewed critically. Examine rigorously any conclusions you have reached and check back where necessary. Review your tentative plans with the officials in the identified priority areas and endeavour to obtain their support. It will be better to pick up at this stage on any omissions than for a flaw to remain in your proposal for identification **after** presentation.

It is very important to the on-going credibility of the program that it be **realistic**. Optimistic projections of what can be done may be easier to sell, but if they cannot be delivered real damage is likely to be done to the whole program. Make contingency allowances in your estimates and be prepared to stress that proposed implementation dates are, of necessity, tentative targets only.

It will be worth investing some time in developing ideas for the records management program. Consider particularly what the most effective implementation strategy is likely to be. It will be worth the effort to **package** your proposals for an impressive presentation.

A well-organized and presented proposal should have, at the very least: covers, title page, table of contents, executive summary, logical chapters and supporting appendices. Convey, through the proposal content, your understanding of the department, your competence as a records specialist, and the potential for significant operational benefits from upgraded records management. The proposed approaches

for projects in the areas identified for priority attention should be presented in some detail, with initial savings projections.

The proposal should be addressed to the most senior level in the department, and it should ask for formal authorization for the program recommended. The proposal is your **sales pitch** for records management as it is to be subjected to a very demanding and critical audience — so it must be defensible!

2.4 Implementing the approved program

If your records management program proposal is a good one it will be endorsed by senior management. This becomes a **charter** for your work as public records officer.

Implementation of the program can be approached as a succession of projects. Typically you will deal with one area of the department at a time. The first phase of each project will be to conduct a full inventory of the records involved. Some projects will include special tasks and objectives, for example, file conversions, re-classifications, and the introduction of new equipment. In all cases, however, the inventoried records will need analysis and appraisal followed by the development of retention and disposition schedules.

Chapter 3

CONDUCTING A RECORDS INVENTORY

3.1 Background

3.2 Purging the non-records

3.3 Making a shelf inventory

3.4 Preparing a file-by-file inventory work plan

3.5 Carrying out the file-by-file inventory

3.6 Recording key inventory classification data

3. CONDUCTING A RECORDS INVENTORY

3.1 Background

The records inventory is a key phase in that it provides the basis for the classification, analysis and appraisal steps that lead to the retention period and final disposition recommendations, and the preparation of a request for records disposition authority. However, before the file-by-file inventory is conducted preparatory steps are required.

If the proposed records inventory is not simple and straightforward, carry out an initial **shelf inventory**. This identifies in detail the areas to be covered and the materials involved. It provides the basis for developing an inventory work plan.

This chapter concludes with guidelines on carrying out the file-by-file inventory and on recording the key inventory classification data. Different approaches are required for case file and subject file inventories.

When referring to this chapter, it is important to remember that the extent to which each phase is carried out depends on the circumstances of the case. Where no records program exists, begin at the preliminary inventory stage (see 2.2). At the other extreme, when you have an approved program and are fully familiar with the condition, type and volumes of records in an area, for example, accounts payable, you may only need to confirm the basic information.

3.2 Purging the non-records

When preparing for an inventory of records, first **clean up** the area. An often undervalued preparatory step is the purging of all **non-record** or superfluous materials that should never have been placed in the files. Purging will remove **obvious non-record** or superfluous materials from the records ready for the inventory, but caution cannot be overemphasized as copies are not always considered superfluous. Such items may be brochures, magazines, blank forms, materials for distribution, obsolete directories and catalogues.

The removal of purged materials reduces the analysis and appraisal task. It saves unproductive effort at the later inventory stages. This alone can go a long way towards relieving significant operational filing space shortage problems.

Exercise care in completing a pre-inventory purge. Do **not** become carried away with disposing of items that might later be identified as public records. All questionable materials should be left for the inventory and appraisal.

3.3 Making a Shelf Inventory

A **shelf inventory** is a scan of the make-up and volume of the records in an area to be inventoried in detail. The purpose is to note the key parameters that determine the resources and expertise required for the file-by-file detailing. The shelf inventory is used to prepare the work plan for the detailed inventory.

No standard Government form exists for conducting shelf inventories. Prepare a format appropriate to the needs of each individual project. The starting point should be a review of the facts gathered during the preliminary inventory.

Account for all the areas in which active and inactive records are being stored. A floorplan, or a simple list of offices and rooms holding records is necessary. Check the accuracy regularly, because some moves may not be reported.

Start in an inactive storage area in the department. This will provide the most efficient working speed and method not interfering with office staff. When active records are inventoried, the process should be as streamlined as possible and cause minimal disruption. The inactive storage area is the most likely location for obsolete records, whose function and content may not be familiar to current staff and require extra research.

The shelf review should provide the details that will enable you to prepare a realistic plan for the file-by-file inventory.

The shelf inventory should provide:

- Estimate of the date ranges
- Descriptions of major file series and records (including file classification system used)
- Format and media
- Volume or quantity held in each different records section (expressed in feet of occupied filing and storage space)
- Identification of active and inactive records proportions
- Records activity characteristics and volumes (that is, the number of users served and positions concerned, volumes of put-aways, retrievals.)
- Supporting systems in use (charge-outs, bring-forwards, source files, chronological files, indexes, cross-references)
- Current disposition arrangements (existing Public Records Committee authorities and records covered)

— Equipment and space utilization data (type of shelving units, filing cabinets, specialized equipment, capacities)

— Other cost identification data (personnel, storage, maintenance, new equipment plans)

— Are duplicate records stored at several locations and how do they relate to each other.

— Existence and application of formal documented policies and procedures for maintenance and management of the records.

3.4 Preparing a file-by-file inventory work plan

The work plan breaks down the inventory-taking task into its component parts. These parts reflect the different phases in the project, as well as the different locations. Each identified phase in the project will involve specific tasks which can, where necessary, be divided into sub-tasks.

Breaking down the project to its building blocks helps to identify the skills required and to prepare time estimates at this level. Noting the skills required for each plan element, a review of available resources and the necessary preparations to meet any problems can be highlighted. The time estimates at the task and sub-task levels provide the basis for scheduling human resources. These estimates are more realistic than total project estimates.

The first draft of the work plan will probably tell you if you have a manageable project. Target a logically distinct set of records for a comprehensive study. If the job size and the limited resources deter the project on this basis, or will take a major duration to complete, then the project must be broken down into a number of separate, achievable projects. A phased or staged implementation approach should be considered. Typically under this approach selected portions of the project are put into place first. Additional portions are added over time until the project is completed.

The work plan should identify each task to be completed, the anticipated start and finish dates, the person assigned responsibility and the **product** involved. Review your final draft plan with the management of the area to be inventoried. Wherever possible, arrange the appointment of key persons in the area to liaise with and support the inventory project.

Throughout the project, monitor progress against the plan and follow up on any unforeseen problem identified. The plan is invaluable to managing the project and reporting your progress to management.

3.5 Carrying out the file-by-file inventory

The file-by-file inventory should be carried out following the work plan prepared. This inventory provides a detailed summary of the records content. It is used for analysis, appraisal and disposition planning.

File-by-file inventories should be prepared on the standard form **Records Listing Inventory (RM 7)**, available from the Warehousing and Distribution Branch, Public Works, Supply and Services. Detailed form completion instructions are provided in Appendix A1 and A2. A black liquid ink pen should be used, rather than a ballpoint, in order to facilitate duplication as required.

The data recorded on the inventory form will depend on the nature of the records involved, (that is, forms, printouts, maps, etc). A quick reference table of inventory listing content requirements for most records types is provided in Appendix B1.

Ensure that all the files to be inventoried are in place and in the proper order before starting an inventory. Gather copies of all reports prepared on a regular basis in the area. Gather statistics on activity volume by collecting copies of correspondence et cetera generated during the inventory period.

For electronic media, (for example, tapes and disks), the **Machine Readable Files Inventory forms (RM 26 and 27)** should be used. Where special standard case file inventory sheets exist these should also be used.

For each inventory distinguish which of the types of files are involved, such as:

— Case files, and

— Subject files

Case files are usually simple to inventory (see example in Appendix B2). Each file contains information relating to a specific action, event, person, place or thing, usually filed by name or number. The files have specific standard criteria which determine the file contents, when it is active, and when it is closed. For inventory purposes, specify the standard file contents and closure criteria once, to cover all the files. A list of the reference numbers or names or both with date ranges will complete the inventory. (Where complex documents are involved attach annotated, de-personalized, examples to the inventory sheet).

Subject files are more complex to inventory (see example in Appendix B3). Each file may contain a wide variety of information and the contents of different subject files are not standard. The challenge lies in assessing the significance of a wide range of materials, identifying how each was or is used, projecting what future values each might have, and summarizing these conclusions on the inventory form.

Before taking an inventory of subject files, review the background of the subject area. This is extremely important for identifying the place and significance of each record that you encounter during the inventory.

While it is difficult to specify comprehensive standard data requirements for subject inventories there are some essential elements that should be noted. They are:

— Dates and date ranges of the record

— File numbers, exact file titles and volume numbers

— Subject groups within the filing system. (A list of files and the subject classification system plan should be attached to the inventory)

— Brief and concise summary of file topics/subjects, **noting only** useful information. A good inventory is understandable to another person as to the file contents covered, that is, what (subject), when (date range), why (purpose), and where, how and who (branch, division, senior official).

In conclusion, guidelines for carrying out file-by-file inventories are summarized below:

1. Identify the various series or groups to be covered, (using an index or numeric listing if there is one, or physically examining the files if there is not), and work sequentially through one series at a time.

2. Be consistent in approach and terminology. This is particularly important when describing file content. The same terminology and wording for the same kinds of material facilities identification of similar or identical records later.

3. Do not change contents of the files when doing an inventory. Make notes in the remarks column where necessary. Obvious misfiles should be brought to the attention of the user or your supervisor.

4. Be thorough. Fill in the form as completely and carefully as possible and make a note of questions as they occur.

5. Be courteous. Explain to filing and other staff exactly what is being done and why.

3.6 Recording key inventory classification data

The file-by-file inventory identifies the files and summarizes the contents. The inventory process provides **background data** that does not relate to any one file particularly, but is very important to a complete picture of the significance of all the records for scheduling purposes. All of such key inventory classification and appraisal data should be noted. It is critical for the inventory review processes to follow.

Background notes answer the following questions:

— Are the records administrative or operational?

— Are the records from a classified or unclassified filing system?

— Are the files obsolete (no longer created) or from an active program?

— Is the department centralized or decentralized and, if duplication occurs, is the duplication exact or a combination of duplication and original material?

— Are these master records of the department, original records for scheduling purposes, or copies?

— What is the volume and media of each record series involved?

— Are there areas of mixed media for the same information such as both paper and electronic records?

— What are the types and capacities of equipment used to hold these files?

— What volumes of records are held in inactive and active storage?

— What is the exact location of all the records inventoried?

— What are the names and telephone numbers of the administrator and contact person for the area?

Chapter 4

ANALYZING AND APPRAISING RECORDS INVENTORIED

4.1 Background

4.2 Analyzing inventory findings

4.3 Grouping related records

4.4 Identifying administrative records covered by ARDA

4.5 Appraising records values

4. ANALYZING AND APPRAISING RECORDS INVENTORIED

4.1 Background

The next phase after a records inventory is a review of the findings to identify the current and anticipated future values of the records to the department. This is a complex process. Records rarely have only a single current value, and assessing future values requires a knowledge of their projected use by the department.

Government operations will continue to generate records and it is wasteful to retain them longer than necessary. It is essential to plan and organize to have only immediately needed records on site, occasionally referenced records in accessible storage, such as transferred to the Records Management Branch prior to final disposition which is either transferred to Provincial Archives or destroyed. The establishment of this kind of on-going disposition plan begins with an analysis and appraisal of the records.

The appraisal process depends heavily upon the accuracy of information obtained in the inventory process. The completed inventory must first be analyzed. Data must be separated into categories: operational records must be distinguished from administrative, and administrative records must be grouped under the appropriate administrative subject headings. During appraisal, present value can be determined and future value projected.

The guidelines in this chapter on records analysis and appraisal include an analysis checklist designed to identify factors to be used in value appraisal. The grouping of related records, the identification of administrative records covered by the Administrative Records Disposition Authority and categories of value are also covered.

4.2 Analyzing inventory findings

The purpose of analyzing the findings of the records inventory is to identify the key factors to be used in value appraisal. These factors will relate to groups of records. It will be important to avoid any tendency to analyse and appraise records on a piecemeal basis.

Analysis can be a separate process, or it may be carried out together with the final inventory steps, or in the schedule setting. The approach in each case should meet the specific needs.

The analysis process should confirm a complete understanding of the records. Note all items which seem unclear or where abbreviations or technical/departmental jargon is used. Recheck the files, or get explanations from knowledgeable people. A clear understanding of the materials, their function and purpose is necessary in the presentation to the Public Records Committee.

Include users in each of the analysis and appraisal phases. For legal issues contact the departmental legal counsel for advice. Where archival potential is noted the Public Records Officer may wish to consult with the Government records archivist responsible for that department.

The analysis process will show how records series are related to others, or how one series summarizes another. Gaps and overlaps directly affect records values. Questions asked during the analysis are as follows:

— Why am I scheduling these records? Ask yourself this question often in order to keep the objective in mind.

— Are the records administrative or operational?

— If Administrative, in which block does this record belong: Administration, Buildings and Sites, Finance, Information, Materials and Equipment or Personnel?

— When was the information created (date range)?

— Who was the originator (branch/division)?

— Under the appropriate block, what primary subject does this record belong to? Why? Are the records master or copy?

— Why were the records created and how were they used?

— Has the purpose for which the records were created been fulfilled?

— Are the records necessary to the creating department, or to the Provincial Archives of Alberta, to document the department's development?

— Is the substance of the records available in a more permanent form, such as in an annual report or other comprehensive document?

— Are there duplicate records? Why (there may be valid reasons)?

— What would be the cost of maintaining the records for a lengthly period, and what would be the possible future value compared with this cost?

— Does this record contain information which could not be found elsewhere or replaced if the record were lost, damaged or destroyed? If so, is this information essential?

— Does the format (computer printouts, paper, magnetic tapes, film) of the series warrant special consideration?

— Does the series document a defunct program not summarized or available elsewhere?

— Is access to the record series restricted by legislation, order-in-council, ministerial order or other reasons? If so, why, for how long and who may authorize access?

— What, if any, are the legal requirements regarding retention of this record?

— Will this record be required as legal or financial evidence to support a claim by the Government, or to refute one against the Government?

— Could this record protect the civil, property or other rights of the Government or the general public?

— Do other departments retain copies of this record? Who holds the original and determine, if possible, the retention periods and final disposition?

4.3 Grouping related records

After the initial analysis of the inventory, group records that are related. Grouping avoids duplicated scheduling effort and multiple, repetitive, disposition submissions to the Public Records Committee.

The process of logical grouping can begin with the examination of the inventory sheets making notes on major subjects and kinds of records as they are encountered.

1. Thorough knowledge of subject classification principles and techniques is invaluable when grouping records.

2. Where inventories cover classified systems it is relatively simple to identify potential logical groupings. In unclassified file systems, however, it may be necessary to review the inventory summaries closely to look for groupings.

3. Grouping and regrouping of records several times is **not unusual** when large unclassified or unconverted systems are being scheduled. Records groupings should be conducive to relative retention periods. For example, short-term processing records should not be lumped together with departmental policy or historic records.

4.4 Identifying administrative records covered by ARDA

The inventory data, when classified, analysed and grouped into logical series are split into two categories:

— Administrative

— Operational

This separation is required because already developed retention periods are to be used for common administrative records (that is, records relating to the 'housekeeping' functions common to all departments). These retention periods are defined in the Administrative Records Disposition Authority, (ARDA). The Authority sets retention periods and final disposition for records in six main blocks, Administration, Buildings and Sites, Finance, Information, Materials and Equipment, and Personnel.

Administrative records separated from operational records should be compared against the ARDA descriptions. ARDA prescribes retention periods and final disposition and eliminates the repetition of all departments preparing similiar Authorities.

The Administrative Records Disposition Authority may be used by all departments and agencies governed by Section 21 of the Department of Public Works, Supply and Services Act. However, departments must apply to the Public Records Committee to receive permission to implement ARDA. Administrative records not covered adequately in ARDA must be scheduled along with operational records and appraised as outlined in section 4.5.

The six Administrative records blocks include the following:

1. Administration

   Subjects relating to administrative and managerial functions not covered elsewhere. Includes organization, acts and legislation, agreements, circulars and directives, committees, meetings, planning and objectives, legislature and cabinet activities, security, signing authorities.

2. Buildings and Sites

   Subjects related to the acquisition of accommodation through purchase or rental of buildings or sites, or through construction of new buildings. Includes landscaping, renovations, consulting services, design specifications, utilities, acquisition, disposal, maintenance and parking areas.

3. Finance

   Financial subjects reflecting the receipt, control and expenditure of public funds. Includes account advances, payable, revenue, allowances, audits, banking, budgets, cheques, contracts, fees, funds, grants, taxes, and travel claim expenses.

4. Information

   Subjects relating to the management of information such as correspondence preparation and management; the development of EDP systems, including word processing and communications networks, forms management; library services; development of internal and technical departmental publications and manuals;

records management including micrographics, Disposition Authorities, inventories, transfers and disposals, and related projects.

5. Materials and Equipment

   Functions of acquisition and procurement, storage and warehousing, issuing, maintenance and repairing and other related subjects through to the ultimate disposal or write-off of obsolete or surplus materials. Includes damage and loss, equipment, tendering, product and service information, materials accounting and inventories, drawings and specifications, maintenance and repairs, vehicles registration and licensing.

6. Personnel

   Subjects relating to employment in the Public Service of Alberta. Includes employment and staffing, employee relations, occupational health and safety, career planning, pay and benefits, attendance, classification, personnel reports and statistics, training and development.

When retention periods and final disposition are located in the ARDA, the Public Records Officer should write them on the records inventory and a notation should be made of the appropriate ARDA reference number.

For central agencies such as the Auditor General, Treasury, Personnel Administration Office, and Public Works, Supply and Services, some of the records named in ARDA will be operational records in their area of responsibility and should be scheduled as such.

4.5 Appraising records values

The appraisal of records is not a completely distinct exercise and this must be kept in mind from the inventory stage to the preparation of the disposition request. Interrelationships exist among various considerations that impact the scheduling process as described in section 5.4.

The appraisal involves reviewing the records from four points of view: administrative, legal, fiscal and research. Records have varying values from one or more of these.

Administrative Value

Those policy and procedure records required to carry out the current activities of a department, or of the government as a whole, as well as case records pending the completion of the specific cases are of administrative value.

Records in this category are created or received for some current function in the department to fulfill one or more specific purpose. After the purpose is served, the primary value lapses, but the records may have values under any of the other three

categories. Examples of records with administrative value are: policy statements, directives, organization charts, memorandum indicating a course of action or change of policy.

Legal Value

Those records which involve long or short term rights of the government or of the private citizen and which are enforceable by the courts are of legal value. Such records include contracts, leases and deeds: On occassion, the legal value is subordinate to the original use of the record. Some legal records may never be destroyed. In other cases, when a transaction has been completed or revoked, then the legal value ceases and the record value will merge into its previous administrative value or operational use.

Federal, provincial or municipal laws and regulations require that records be kept, but do not specify definite retention periods. Legal advice should be sought to determine whether there are regulations which affect the records in question. The layman does not know all the legislation thoroughly enough to be able to make accurate judgements.

Fiscal Value

Those records which departments require to show how funds were acquired, allotted and administered are of fiscal value. The immediate fiscal value expires when the financial transaction is completed, but further retention is required to fulfill the fiscal or legal requirements of legislation or regulations. These records are kept for varying lengths of time, from short term (such as expense accounts and invoices) to long-term retention (for documentation of pension accounts, trust funds).

Research Value (Historic)

Also referred to as informational, evidential and historical/cultural value. Records have inherit research value if they provide evidence of a department's history, objectives or organization, and future plans. Records with research value provide past or current data on which present or future policy could be based, or significant data not available from any other known source. The following criteria characterizes these records:

— May aid in the reconstruction of the past activities of a department, to provide information for current and future planning, and to furnish data upon which new activities may be based.

— May have informational data that is considered "unique". This term implies that the record contains information which is not available or which cannot be obtained from any other known source. Further uniqueness or value may be found in the form of the records themselves aside from the information contained in them.

— May have information data value that parallels the administrative value, which remains after the administrative value has expired. It is also true that records which departments have had to retain for longer periods because of departmental requirements, usually possess long term informational value. The obvious illustration of this would be the policy records governing the initiation of revised, expanded or new programs within the department.

The information data value to the proprietary department and the research-historical aspect of that value to the non-government user merge to become the final archival phase value of that small proportion of the public records which must be retained permanently. This overlap illustrates the fact that the records which a department has decided should be kept for a long period of time will invariably be of interest to the research specialist.

During the appraisal, ask questions such as the following:

1. What are the statutory requirements, if any, concerning the retention period and final disposition of the records?

2. Have the records ceased to contribute to the administrative performance of the function it supported?

3. Has the original purpose of the records been fulfilled, (financial, legal evidence)?

4. Are the records being retained as a convenience, or because it has been the practice to keep them?

5. Has the processing life cycle for each record been completed?

6. Is the record available elsewhere? (Where, why)?

7. Have the rights of the department been protected?

8. Have the rights of all the individuals involved been protected?

9. Will the records be required in any of the following potential areas?
   - — policy development
   - — planning
   - — forecasting, simulation, etc
   - — audit trails
   - — research analyses
   - — litigation

The values identified for each record series, or part of a series, should be noted on the inventory sheets. Where follow-up with the specialist areas involved has been required (legal counsel, financial officers, archivists), the key considerations and suggested disposition arrangements should also be noted.

Chapter 5

DEVELOPING RETENTION AND DISPOSITION SCHEDULES

5.1 Background

5.2 Checking for existing Authorities

5.3 Identifying retention periods

5.4 Reviewing the effects of scheduling proposals

5.5 Preparing Requests for Records Disposition Authorities

5. DEVELOPING RETENTION AND DISPOSITION SCHEDULES

5.1 Background

For most common administrative records the inventory taking and analysis processes will lead to identification of records descriptions and retention periods that may be adopted from the Administrative Records Disposition Authority. No schedules will have to be developed for submission to the Public Records Committee, provided that the department has received permission to use ARDA from the Public Records Committee. For those administrative records where the descriptions or retention periods are deemed not appropriate, or are missing, the department may propose and submit different schedules, but these instances should be the exception rather than the rule.

Operational records are different. The processes of inventorying, analyzing and appraising are preparations for the development of **custom designed** retention and disposition schedules.

This chapter outlines the main elements involved in developing schedules. First is the checking for already existing authorities, second is the process of identifying appropriate retention periods. A section is included on reviewing the impacts of draft scheduling proposals. The chapter concludes with guidelines on the preparation of the formal requests for records Disposition Authorities.

5.2 Checking for existing Authorities

After inventory and analysis, check for existing applicable Authorities. For administrative records, refer to the Administrative Records Disposition Authority with no further development action usually required provided permission to use ARDA has been granted. If permission to use ARDA has not been granted check Disposition Authorities for administrative records previously approved. For operational records reference should be made to Disposition Authorities previously requested and obtained from the Public Records Committee.

Existing Authorities are found where a similar program or activity was previously inventoried and scheduled. Where regional/district offices exist, the same blanket Authority may be developed to be applicable to all.

This applies to existing Authorities issued on a **continuing** use basis. A **one-time** authority for disposition of specific records is not valid for any records other than those to which it originally applied.

If an existing Authority is applicable to the records inventoried, the approved retention periods and the covering PRC number should be noted on the inventory. Appropriate implementation action can then be begun.

5.3 Identifying retention periods

Retention periods indicate:

— the length of time each type of record should be retained in a department, including transfer to inactive storage (eg., Alberta Records Centre), and

— the length of time each type of record must be retained before final disposition.

Proposals on retention periods for the records inventoried are based on the analysis and appraisal of values made. The study identifies the useful life cycle of each group of records.

The following are some guidelines:

1. Maintain a continuing familiarity with department legislation and regulations noting factors relating, directly or indirectly, to retention periods, final disposition and access restrictions.

2. Examine existing cross government legislation, such as the Statute of Limitations, Evidence Act and the Financial Administration Act, for predetermined retention periods affecting a group of records.

3. Review Records Management Branch and Provincial Archives publications and PRC directives for policy guidelines to be used in scheduling particular types of records, dealing with various types of circumstances.

4. Scan existing Authorities for precedents that might be applicable to records under review.

5. Identify the various values of the information contained in the records and assess when all these values have lapsed (that is, when the information will cease to be useful in any way to the department).

6. Check your analysis and notes from discussions with users to determine

   — the period during which the records will be required on-site,

   — the period during which the records will continue to be occasionally referenced but may be stored off-site, and

   — the point at which the records become inactive and the final disposition can be implemented.

7. The retention period is calculated from the date of the last action/ correspondence on file, unless otherwise stipulated (eg. date of file closure).

8. Calculate retention periods from and including the last complete year for the specified term. In other words, specify how old the records must be before they

may be transferred or disposed of, not how much longer they must be retained. Calculate from the date of the records, not the date of Authority.

9. Attach qualifying phrases or special factors to the retention periods where required. For example:

   X months after completion
   X years after investigation completed
   X years after sale, transfer or expiry of
   X months after compilation of a consolidated report
   X years after expiry or non-renewal of right provided there is no outstanding litigation
   X months after revision or superseded
   X months after cancellation
   X years, after superceded or obsolete
   X years, after final payment

5.4 Reviewing the effects of scheduling proposals

Scheduling arrangements have far-reaching implications. The setting of a final disposition means that those records that are not transferred to the Archives will be destroyed. If a special factor is missed in the process the impact may be very significant.

It is important to review the impact of the media in which records are held. During the life cycle, from creation through maintenance to disposal, information may flow from one medium to another. As a result, some information in machine readable form can be re-created and manipulated electronically by merging, extracting or aggregating other data. This directly affects the potential value of each of the records involved. A quick summary of Disposition Authority requirements by mix of media is included in Appendix C1.

In each case, it is critical to check the projected life expectancy of the medium with the proposed retention period. It may be necessary to propose changes in media to make longer retention periods feasible.

Identification of any contingency plans, duplications within programs, alternative sources or security back-ups may indicate the need for increased or decreased information retention. Anticipate how the use of retained records, or retrieval of their content, will be affected by foreseeable advances in technology. Also an assessment should be made of the cost to re-create the information in the event of it being lost or destroyed.

5.5 Preparing Requests for Records Disposition Authorities

All records retention and disposition proposals not covered by existing Authorities must be submitted to the Public Records Committee. All such submissions should be presented using the Request for Records Disposition Authority form, PRC 1 (with continuation pages on PRC 2). Detailed completion instructions are provided in Appendices D1 and D2 with an illustrative sample in Appendix E1.

The Public Records Committee may establish disposition schedules, procedures and directives governing the handling, control, organization, retention, maintenance, preservation, disposition, alienation and destruction of public records; access to public records; and the destruction of a public record that is no longer required for any purpose.

The Committee ensures that each of the members has an opportunity to confirm that records proposed for disposal are, in fact, of no further value. Committee membership includes representation from legal, financial and archival interests. The members review all submissions and may either approve, revise or reject the submission or request additional information.

Approved submissions are assigned control numbers and signed by the Chairman of the Public Records Committee. A copy of the originally signed PRC 1 form is returned to the department, authorizing the PRO to implement the schedule as approved. The Public Records Committee may delegate signing authority for certain types of amendments to the secretary.

Request forms should be prepared in **final draft** and then reviewed with the departmental personnel responsible for the area involved. The encouragement of co-operation between user and records management will promote continuing program success. The public records officer should obtain a written sign-off for the proposals (with any agreed amendments) to confirm formally the joint understanding on the disposition plans to be submitted. (In some departments, internal procedures require that a user branch manager sign to document concurrence with a proposed PRC schedule. Other signatures may be required where special legal, financial or audit considerations have been noted).

The final review process should identify any acronyms or ambiguities in the names or titles. They should be replaced with precise and descriptive names. Terms like 'general' and 'miscellaneous' are inadequate and require with more descriptive comments.

All Requests for Records Disposition Authority must be supported by sufficient information to enable the Public Records Committee to make a decision. The public records officer should become familiar with the background so that any questions arising in the Committee's review can be answered promptly and fully. All legal opinions obtained should be attached to the request forms submitted.

There are two types of Disposition Authority:

1. One-time Authority Requests

   These should be prepared when

   — scheduling a group of unrelated subject records
   — the program or operation is no longer operating and is now defunct
   — there are changes in the organization where records are no longer created

   One-time Authorities are particularly useful for disposing of unconverted records (those not organized within a subject classification plan) that are not to be converted. All one-time disposition authorities shall automatically lapse one calendar year after the date on which they were approved by the Public Records Committee or sixty days after the final disposition is to take place, if the final disposition is more than one calendar year from when the disposition authority was approved.

2. Continuing Authority Requests

   These should be prepared when

   — when records are still being created
   — scheduling day to day (ongoing) administrative and operational records
   — regular and orderly transfer from active to inactive or, archival storage is required

Following your own department's internal review and approval of each Request for Records Disposition Authority you, as the duly appointed public records officer, must formally sign the Request. It is then ready for submission to the Public Records Committee (PRC) for approval.

All PRC forms should be prepared in triplicate. You should send the first and second copies with original signatures to the Public Records Committee and keep the third for your departmental records. It is generally not necessary to submit a covering memo or letter, unless additional information is to be brought to the attention of the Committee.

Chapter 6

USING RECORDS DISPOSITION AUTHORITIES

6.1 Background

6.2 Transferring records to the Records Management Branch

6.3 Disposing of records

6.4 Obtaining amendments to existing Authorities

6.5 Consolidating Disposition Authorities

6.6 Dealing with major systems and organization changes

6. USING RECORDS DISPOSITION AUTHORITIES

6.1 Background

Records retention and disposition actions in the department must follow the schedules defined in the approved Disposition Authorities. For common administrative records, the Administrative Records Disposition Authority may be used providing the department has received permission to use ARDA. For operational records (and administrative records falling outside ARDA), individual PRC Authorities will be required.

The Authorities define the total length of time that the records are to be kept, which may include the time required in the department, how long in the Records Management Branch (Alberta Records Centre), and what is to happen to them after these periods have expired. This chapter outlines the steps involved in using Authorities to transfer records to Records Management Branch, and then to arrange for their final disposition.

The chapter also presents some guidelines on the process involved in updating Authorities. These update phases include obtaining amendments, consolidating Authorities and dealing with major systems and organizational changes.

6.2 Transferring records to the Records Management Branch

The purpose of the Records Management Branch, Alberta Records Centre is to provide low cost facilities to store records until they are destroyed or transferred to the Provincial Archives. To be accepted by the Records Management Branch, the records must:

1. have been assigned a definite retention period and a final disposition, approved by the PRC, and

2. be in the Alberta Records Centre for a **minimum of one year**.

It is the responsibility of each department to arrange for effective storage of all their public records. Inactive, (not needed for day-to-day access), records should be removed from high-cost on-site space to lower-cost facilities.

Some departments have their own interim inactive or semiactive storage areas, while the Records Management Branch of Alberta Public Works, Supply and Services offers a cross-government records centre for the use of any department. An approved PRC Authority is required before records can be transferred to the Alberta Records Centre.

To arrange for a transfer, the department must complete a Public Records Transfer form (PWSS 0121). Detailed information on completing the forms and arranging for pick-up is to be found in the publication **How to Use the Alberta Records Centre**.

Departments wishing to restrict access on records they store at the Alberta Records Centre should know that access is already restricted to employees of the depositing department (there is no public access). Specific positions within a department may be named as the only ones authorized to consult those records. Others must have written authorization from one of these named positions. The Alberta Records Centre ensures that no records are given to unauthorized persons.

6.3 Disposing of records

Without going into intricate details all public records are disposed of in one of two ways.

1. The Provincial Archives of Alberta

   The Provincial Archivist (by confirmation of the Public Records Committee) may select any public record no longer required by any department by agreeing with, revising or making specific annotations on the final disposition on the Request for Records Disposition Authority PRC 1 form. To avoid delays, it is recommended that the public records officers review their disposition plans in advance, with the Provincial Archives, in order to identify records of archival value.

   When drawing up the schedule it is the responsibility of the PRO to identify those records which, if scheduled for Provincial Archives, are sufficiently sensitive to warrant a restriction on access. The Provincial Archives does not impose access restrictions. Unless the department stipulates restrictions, the records will be made available for public research and reference.

   At the implementation stage the Provincial Archives must be contacted to arrange for transfer of the records. The Archives can arrange to pick up records from departments in the Edmonton area. The transfer of records from other parts of the province will be arranged through mutual agreement between the department and the Provincial Archives.

2. Records Management Branch (PWSS), Alberta Records Centre.

   The Records Management Branch arranges for all disposals of records at the end of their authorized retention period and after the removal of materials requested by the Provincial Archives.

   No records held at the Records Management Branch will be destroyed without the final sign-off of the responsible department and the Provincial Archives, if records are scheduled for transfer to the Provincial Archives. Twenty-one days before the end of the scheduled retention period, the Records Management Branch will notify the department that disposition is due. The department must review the records scheduled for disposal and formally concur the action.

For procedural details the publication by the Provincial Archives, **A Guide for Records Managers** and the publication by Records Management Branch, **How to use the Alberta Records Centre** should be referenced.

All unauthorized disposals within the department that come to the knowledge of any user must be reported to the public records officer. The public records officer must report any unauthorized disposal within the department to the Public Records Committee, in writing, giving all details and circumstances that have come to light regarding the incident.

6.4 Obtaining amendments to existing Authorities

Changes in circumstances can create changes in records retention and disposition plans. All requests for amendments to existing PRC Authorities should be submitted using the Request for Records Disposition Authority (PRC 1).

The request for amendment should set out all the current information (as the Authority currently reads) under the heading 'EXISTING AUTHORITY — PRC XX/XXX'. Below this sould be presented the revised information details, including the proposed changes, with the heading 'TO BE AMENDED AS FOLLOWS'. These entries should be supported by a **reasons sentence or paragraph** explaining the logic behind the proposals. An illustrative example of the proper presentation of an amendment request is provided in Appendix E2.

Requests for amendments should not be submitted for minor changes in circumstances which do not materially affect the records or their status. For example, changes to form numbers, or branch names should be noted on the Disposition Authority file only. If other changes are required these minor updates can be included at that time.

A request for an amendment to an existing continuing Authority or an operational one-time Authority is appropriate where earlier records are discovered, which correspond to records already covered by an existing Authority. Amendments are required for changes in retention periods, final disposition, errors in content descriptions, date ranges, legislation effecting those records, etc. On the other hand, where a major reinterpretation of items or a series is involved, then an amendment will not be acceptable. If an extension is required beyond the time frames specified for a one-time Disposition Authority the procedure outlined in Appendix E3 should be followed. A new Request will be required for major reinterpretation of items or series, major conversions including media conversions, etc.

6.5 Consolidating Disposition Authorities

As the departmental records management program progresses the Disposition Authorities tend to accumulate. Reference to and use of the Authorities may become awkward. The short-term solution is to assemble an appropriately sequenced covering list of records titles, with Authority numbers and retention periods, to use on a day-to-day basis.

Where the number of Authorities becomes a major problem, it is worthwhile to consider consolidation. All proposals for such consolidations should be prepared with clear indication of the authorities to be cancelled. These proposals must be reviewed and approved by the Public Records Committee.

6.6 Dealing with major systems and organization changes

The public records officer of each department should periodically followup on existing Authorities to evaluate their accuracy and, as required, request amendment, cancellation or consolidation.

Major systems and organization changes can have significant records management implications. It is the responsibility of the public records officer to identify these implications and make appropriate responses to them.

Where a part of the Government operations moves to independent status, (outside the Government jurisdiction) some decisions are required on what happens to existing records. For operational purposes, the new agency may wish to take with it some of these records. In these cases, departments should consult any relevent legislation and request a review and approval from the Public Records Committee before release of the records. A Request for Records Disposition Authority form is the vehicle used to obtain concurrence from the Public Records Committee.

Major system changes include replacement of manual with computer based operations, and establishment of microform records in place of paper. Where it is proposed that the original records be destroyed following microfilming the request for authority must specify:

1) that the original records will be destroyed only after the microform has been verified for detail and quality.

2) the office responsible for preserving the microform.

3) the period of retention for the microform and its location.

Wherever possible the request should schedule **all related records** (paper, microform and security copies).

APPENDICES

Alberta

RECORDS LISTING INVENTORY

DEPARTMENT: 1 Agriculture | BRANCH: 2 Marketing | COMPLETED BY: 3 Joyce Black | DATE: 4 December, 1986

5 FILE NUMBER/ REFERENCE 6	7 VOLUME NUMBER	8 TITLE	9 CONTENT FILE TOPICS/SUBJECTS, PHYSICAL CHARACTERISTICS (e.g. INVOICES, CONTRACTS, MEMORANDA, LETTERS, etc. ORIGINALS OR COPIES)	10 RANGE From	To	11 FILE LOCATED IN BOX, SHELF OR FILE CABINET NUMBER	12 REMARKS	RECOMMEND RETENTION PERIOD 13 DEPT.	14 ARC	15 FINAL
11. 2120-1	2	Marketing - General	- information on services provided to producers, processors, including market development and support services provided to Alberta's agriculture and food industry; development of market and sector strategies and assisting in the development of enterprise strategies.	1970	1982	1	Archival interest?			
12 2125-3	2	Markets	- the development, co-ordination and implementation of services and support programs to assist producers, processors and marketers to increase sales.	1975	1985	1	Contains misfiled information shewed to be on 2148-1			
13 2130-4	4	Commodities / Products - Export	- Commodities of major export by Alberta such as wheat, wheat flour, barley, Canola, meats, whiskey, beer, Water, peat moss, honey processed meats, and others.	1979	1985	1				
14. 2135-2	1	Business Analysis	- professional services provided in areas of business and financial management.							

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Appendix A1

Form Completion Instructions

The Records Listing Inventory form should be completed as follows:

1.	Department	Full name of the department for which the inventory is being done.
2.	Branch	Identify the branch, division, and section if applicable, for which the inventory is being done.
3.	Completed By	Full name of the person completing the inventory.
4.	Date	The date on which the inventory was completed.
5.	Item Number	Number each file or item you inventory sequentially, starting with "1" in the upper right hand corner, (on the outside of the file jacket), and record the same number on the inventory form if the file cannot be identified by file number or title.
6.	File Numbers	If the files have been arranged in a numerical sequence, write the corresponding file number; if in a alphabetical sequence, write any alphabetical reference (code) used.
7.	Volume	If the file being inventoried comes in more than one volume, write its volume number.
8.	Title	Record the title of the file/document exactly as it appears, but identify by writing out in full any abbreviations used.
9.	Content	This is the most important part of the inventory. Skim through the file or document to find out what kinds of records (if forms or printouts, write both their titles and numbers) and what topics are covered. Summarize the subject matter and format without repeating details of each piece of paper in the file. Are the contents originals or duplicates?
10.	Date Range	Record the date range of the material, earliest date to the most recent. For financial records, check to see if specific fiscal years are covered, and if so, note this in the content. For contracts, include date of expiry/termination. For personnel records, note Social Insurance Number and date of birth. Check for papers out of chronological order; this may affect date range.

11.	Box, Shelf or File Cabinet Number	Note kind of storage and the number, so that records may be located later.
12.	Remarks	Any additional helpful comments may be recorded here, for example: "empty file folder," any existing PRC Authority numbers, proposed access restrictions, or historical documents.
13.	to 15. Recommended Retention Period	May be left blank, to be completed during the appraisal process.
16.	Page	Page number, such as 10 of 45.

A covering memo or summary report should accompany the inventory, providing additional information such as location/town, building and street address; telephone number; name of administrator in records area; volume of records in linear feet; equipment used to store records and type (shelving, lateral or conventional filing cabinets); location of records inventoried, e.g., Room 217E, Provincial Building (any information that is not the inventory). This information is very important, especially if the inventory will not be actioned immediately, or is part of a very large project.

Quick Reference Of Inventory Listing Content Requirements

FORMS/CARDS

- — Form Name (as it appears on the form)
- — Form Number in brackets after form name
- — Which copy of a multiple copy form
- — Describe purpose, contents and/or flow from users viewpoint

REPORTS

- — Is the report produced by or for the department
- — Record exact name of the report, author/division, date or date range
- — Describe purpose/content of the report in a sentence or two

PRINTOUTS

- — Exact name of Printout
- — Number/no number in brackets
- — Date/date ranges
- — For operational printouts describe purpose, informational content, or, attach sample copy
- — Where is the master record of the printout

CASE FILES

- — State or identify the case files (employee files, client files)
- — Statement: The following case files contain (or may contain) the following correspondence, information or forms.
- — List and describe all documents that could possibly exist on file (see forms above)
- — List individual case files by reference code
  Example: number, name, and date ranges applicable to each file.

SUBJECT FILES

- — Basically summarize the subject content of the different types of information contained on the file, even if the subject content does not relate to that particular subject file/title (also see forms, reports, above).

PROCESSING DOCUMENTS

- — State the operational purpose of the processing system (what and why)
- — Identify the covering document used to process the information
- — List and describe all documents that exist under the covering document (see forms above).

PHOTOGRAPHS

- Record on the back of the photograph (in pencil) soon after receipt, the subject, location, purpose/event, date, and names of the significant individuals in the photograph (partial names are better than none at all).
- If known also record the photographer, negative number and location.
- If the photograph is to be placed in an album, number it and list the above information elsewhere.

OVERHEAD AND PHOTOGRAPHIC SLIDES

- Number and prepare list to backup slides
- Identify subject, purpose
- Date
- Names or partial names, of significant individuals in photographic slides

MICROFORM/COM SYSTEMS

- Identify microform/COM systems and portion of delivery program covered
- Review and record what the retrieval system requirements are and type of supportive index used
- Identify whether the system is used to protect the original record or to facilitate a large number of users

MAPS AND PLANS

- Identify subject, purpose of map or plan
- Record plan number, including revision number
- Date, including revised date
- Identify and record retrieval aids such as codes, category
- Record scale used and size

MOVING IMAGES

- Identify subject, purpose and program delivery, if applicable
- Date
- Format and medium (eg. ½ inch video, 16 mm cinefilm)
- Length (time)
- Produced by and for whom
- Colour, black and white
- Sound or silent

SOUND RECORDINGS

- Identify subject, purpose and program delivery, if applicable
- Date
- Name of informant (if an interview)
- Format and medium (reel to reel, LP, cassette)
- Length (time)
- Recording speed
- Produced by and for whom

SAMPLE CASE FILE INVENTORY
– CLOSED VENDOR CASE FILES –

Alberta — RECORDS LISTING INVENTORY

DEPARTMENT	BRANCH	COMPLETED BY	DATE
Social Services	Financial Services - Accounts Payable	Sheila Bender	June, 1986

	FILE NUMBER/ REFERENCE	VOLUME NUMBER	TITLE	CONTENT (FILE TOPICS/SUBJECTS PHYSICAL CHARACTERISTICS i.e. INVOICES CONTRACTS MEMORANDA LETTERS etc ORIGINALS OR COPIES)	RANGE From To	FILE LOCATED IN (BOX) SHELF OR FILE CABINET NUMBER	REMARKS	RECOMMEND RETENTION PERIOD DEPT	ARC	FINAL
	525-2		ACCOUNTS - PAYABLE (Vendor) CASE FILES - by FISCAL YEAR				Master Files	2	5	
			- The following Accounts Payable case files contain or may contain the following correspondence, information and or forms: correspondence with Vendors relating to discrepancies and/or payment of account. Includes vendor invoices, requisitions, direct purchase orders, notice of correction, receipt of material or service forms. The records are arranged alphabetically by Vendor name and cross-referenced by Vendor number.			ARDA # 0625	After Final payment. (by fiscal year)		Destroy
	VENDOR NUMBER									
1.	216106	2	ADS Envelope Company	(As above)	1980 - Mar 84	Box # 1				
2.	563009	2	Alberta Oxygen Ltd.		1982 - Mar 85					
3.	404247	3	Hertz Rent A Car		1984 - Mar 85					
4.	921418	2	Howell's Movers Limited		1979 - Jun 83					
5.	759008	2	J.T. Hansen Construction		1983 - Mar 85					
6.		1	Krawford Draperies		1984 - Mar 85					
7.		1	National Book Repairs		1983 - Mar 85	Box # 2				
8.	746927	4	Shannon Suppliers Limited		1983 - Mar 85					
9.	489541	1	Vogue Fashion Limited		1980 - Mar 84					
10.	144260	4	Wahl Developments Ltd.		1984 - Mar 85					

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Appendix B2

SAMPLE CASE FILE INVENTORY
– TERMINATED EMPLOYEE RECORDS –

Alberta — RECORDS LISTING INVENTORY

DEPARTMENT: Public Works, Supply and Services | BRANCH: Personnel | COMPLETED BY: Karen Jones | DATE: May, 1986

FILE NUMBER/ REFERENCE	VOLUME NUMBER	TITLE	CONTENT (FILE TOPICS/SUBJECTS, PHYSICAL CHARACTERISTICS (i.e. INVOICES, CONTRACTS, MEMORANDA, LETTERS etc. ORIGINALS OR COPIES))	RANGE From	RANGE To	FILE LOCATED IN BOX, SHELF OR FILE CABINET NUMBER	REMARKS	RECOMMEND RETENTION PERIOD DEPT	ARC	FINAL
1010-2		TERMINATED EMPLOYEE RECORDS CASE FILES					ARDA # 1110	1	69	
		– The official Employee Records contain or may contain the following correspondence, information and/or forms: commencement notice, official oath, personal information, employment history, change in employment or pension status, performance appraisals, attendance and leave, salary, training, disciplinary actions, tax deductions, classification and position, probationary periods.					Master Files	Review for Selective Retention. Destroy		
DATE OF BIRTH Day/Month/Year		NAME	SOCIAL INSURANCE NUMBER	1985 Month Terminated		CABINET DRAWER	Alpha Sequence			
18 06 21		Cox, Jean Louise	247 682 404	April		1	3 Archives			Selective Retention
08 09 25		Symth, Scott Stuart	746 882 927	October		1	11 Archives			Selective Retention
22 08 39		Brown, Elsie Beverley	226 009 074	February		1	2			
18 10 42		Drevenck, Bea Frances	625 541 826	July		1	4			
15 07 44		Jorgensen, Johan Kyle	759 489 008	December		1	9			
30 03 50		Eckert, Robert Allen	649 126 323	September		1	6			
04 11 53		Fabriz, Gerald John	461 622 144	November		2	7			
17 12 63		Adrain, Linda Rose	106 563 216	June		2	1			
06 02 67		MacMillan, Brenda	475 642 260	July		2	10			
02 04 69		Gawreletz, Len	921 812 418	February		2	8 Archives			Selective Retention

RM-7 (5/83)

B2

SAMPLE SUBJECT FILE INVENTORY

Alberta

RECORDS LISTING INVENTORY

DEPARTMENT	BRANCH	COMPLETED BY	DATE
Agriculture	Production	Lynda Raintree	October, 1986

FILE NUMBER/ REFERENCE	VOLUME NUMBER	TITLE	CONTENT FILE TOPICS/SUBJECTS PHYSICAL CHARACTERISTICS (i.e. INVOICES, CONTRACTS, MEMORANDA, LETTERS etc. ORIGINALS OR COPIES)	RANGE From	RANGE To	FILE LOCATED IN BOX, SHELF OR FILE CABINET NUMBER	REMARKS	RECOMMEND RETENTION PERIOD DEPT	ARC	FINAL
4104-3	4	Animal Health	- programs and services provided such as inspection, consultation, extension information to help control disease and production of safe, quality products. Includes inspection of animals at auction markets, community pastures; meat inspection at licensed abattoirs, control measures taken by producers and veterinary practitioners.	1980	1985	1A		2	3	D
4108-2	3	Pathology	- identify diseases and their causes, laboratory post mortem examinations, diagnostic assistance, consultation on specific disease diagnoses or herd problems.	1979	1984	1A	Archival Suggested by PAA	2	8	SR
4110-4	1	Dairy	- inspection, consultation, demonstration to produce legal, safe and wholesome dairy products economically; manufacturing of new dairy products, producer management programs, dairy herd improvement program information; assistance to the Alberta Milk Producers' Association and the Alberta Milk Recording Board.	1983	1985	1B		2	3	D

RM-7 (5/83)

Quick Summary of Disposition Authority requirements by mix of media

When scheduling public records the whole program should be taken into consideration regardless of the records media involved. This summary will assist you in the decision process to determine the retention period for each media taking into account its volatility.

Paper

1. Give a brief description of the program
2. Name the Act, Statute or Regulation under which this program operates/operated, if applicable
3. List subjects and descriptions (scope notes)
4. Review retention periods and suggest final disposition, in consultation with user
5. Identify access restrictions, if any
6. Review periodically and amend as required

Combination of Paper/Microform

1. Give a brief description of the program
2. Name the Act, Statute or Regulation under which this program operates/operated
3. List subjects, descriptions (scope notes), and related media
4. Identify identical information contained on both media
5. Determine value and impact of identical information contained on paper and microform
6. Analyze the significance of retaining information in one medium over another, why; determine which medium will become the operational record of the department, and ensure all media are scheduled
7. Review retention periods and final disposition, in consultation with user, for information contained in both media
8. Identify access restrictions, if any
9. Review periodically and amend as required

Combination of Paper/Machine Readable/Microform

1. Give a brief description of the program
2. Name the Act, Statute or Regulation under which this program operates/operated
3. List subjects, descriptions (scope notes), and related media
4. Identify identical information contained on more than one medium
5. Determine values and impact of information in electronic media on the program delivery
6. Determine values and impact of input and output records
7. Review purpose of the program, role of electronic information in its delivery and end result

8. If the electonic information is a driving force in program delivery the automated system, consisting of input, machine readable records, and output must be scheduled
9. Identify access restrictions, if any
10. Review periodically and amend as required

For more detailed information on scheduling machine readable records refer to the **Introduction to Machine-Readable Records Retention and Scheduling** PWSS 117 publication.

Appendix D1

Alberta
PUBLIC WORKS, SUPPLY AND SERVICES

REQUEST FOR RECORDS DISPOSITION AUTHORITY

[redacted] 1

PUBLIC RECORDS COMMITTEE

3 ■ New Request ☐ Amendment to Previous Request

4 Total Number of Pages 2

TO SECRETARY, PUBLIC RECORDS COMMITTEE
PROVINCIAL ARCHIVES OF ALBERTA
12845 - 102 AVENUE, EDMONTON, T5N 0M6

Department or Agency
5 Public Works, Supply and Services (PWSS)

Branch and/or Unit whose Records are for Review
6 Records Management Branch

Location of Records (room, floor, address)
7 2nd Floor, 10442 - 169 Street
Edmonton

Contact Person: 8 Joan Taylor
Telephone: 483-4012

NOTIFICATION TO DEPARTMENT

In accordance with the provision of Sections 3(a) and 4(1) of the Public Record Regulation (Alta. Reg. 373/83), and issued by virtue of section 2.1 of the Department of Public Works, Supply and Services Act, Chapter D25.5, 1983, the disposition request, as amended below, is approved.

2

CHAIRMAN, PUBLIC RECORDS COMMITTEE

DATE

CERTIFICATE OF PUBLIC RECORDS OFFICER

I hereby certify that I am authorized to act for this department in matters pertaining to the disposition of the department's records and that the records proposed for disposition are no longer needed for the business of this department or will not be needed after the retention periods specified.

9

Name/Public Records Officer (Please Type)	Date	Signature
	26 Sept. 86	

DESCRIPTION OF RECORDS

(If amendment, include only data for item being changed)

Physical Form of Records		Arranged By
■ Files	☐ Mag. Tapes	■ Subject Classification
☐ Microfilm	☐ Disc Packs	☐ Name
☐ Maps/Plans	☐ Other (Specify)	☐ Number
10		☐ Other (Specify)
		11

Continuing Authority	Quote Existing Disposition Authority	14 Total Quantity in Cubic Feet		
		Records Centre	Archives	Destroy
■ Yes ☐ No	13	20	1	50
12				

Organizational and Records Background/Description/Access Restrictions

15

Records Management Branch is a central agency responsible for the Records Management Program on a province-wide basis. The program operates under the Department of Public Works, Supply and Services Act and Public Records Regulations. Each department including PWSS appoints a public records officer to implement the records program within the department. In addition to administrating the Records Management Program the Branch also sets policy, develops procedures, standards, and guidelines; provides training, record centre storage, and disposal services. The following records are all operational.

ITEM LISTING

(For amendments, show existing authority first, with requested changes underneath.)

ITEM NO.	DESCRIPTION OF ITEM (describe series purpose and indicate if related to H.Q. or Field Office)	DATES (range)	KEEP (Years) DEPT	KEEP (Years) RC	FINAL DISPOSITION (Dest. or Arch.)	RESTRICT ACCESS (Years)	AMENDMENTS BY COMMITTEE
16	17	18	19		20	21	22
1.	Economies (by fiscal year) - Contains annual cost summary from each department covering the cost effectiveness of their records management program.	1975 to date	2	3	Destroy		

PRC 1 (2/84)

Alberta

PUBLIC WORKS, SUPPLY AND SERVICES

REQUEST FOR RECORDS DISPOSITION AUTHORITY – SUPPLEMENT 23

PUBLIC RECORDS COMMITTEE

PAGE _____ OF _____

ITEM NO.	DESCRIPTION OF ITEM (describe series purpose and indicate if related to H.O. or Field Office)	DATES (range)	DEPT.	RC	FINAL DISPOSITION (Dest. or Arch.)	RESTRICT ACCESS (Years)	AMENDMENTS BY COMMITTEE
16	17	18	19		20	21	22
2.	Essential Records - all aspects relating to essential records including the development and implementation of a government-wide essential records program.	1975 to date	2	8	Selective Retention		
3.	Public Records Committee - all aspects relating to the Public Records Committee including liaison with the Records Management Branch on government-wide records management issues, PRO directives Agenda and Minutes, legal opinions, and disposition schedules.	1975 to date	2	8	Selective Retention		
4.	Records Accessions/Transfers - documentation relating to records transfers through the Alberta Records Centre and accessioned for future retrieval including transfer discrepancies.	1975 to date	2 years after related records have been disposed as per related PRC Authority.		Destroy		
5.	Training - government-wide records management training including the planning and development of government-wide courses, course contents, delivery, evaluation and follow-up information.	1983 to date	3	0	After course enhanced or terminated, Selective Retention		

PRC 2 (2/84)

TO BE USED ONLY IN ADDITION TO FORM PRC 1

Form Completion Instructions

Completion Details for PRC 1 and PRC 2 Forms

1. Completed by Public Records Committee.
2. Completed by Public Records Committee.
3. Is this a new request or an amendment to a previous request. Check one.
4. Number of pages in this submission including PRC 1.
5. Department making submission and having possession of records listed.
6. Division, branch, unit, whose records are being listed.
7. Address where records may be seen.
8. Person who has completed the form or some other person knowledgeable of the records.
9. Date form completed, name of PRO (typed), and PRO's signature.
   Public records officer must sign, regardless of whom completed the form.
10. Check one or more, and describe if other.
11. Check one or more, and describe if other.
12. Check "yes" if records are still being created and you wish to dispose of them in the future, without making another submission to the Committee after the specified retention periods. Check "no" if this is a one-time only disposition and the records with a terminal date are no longer being created.
13. Show any existing Statute, Regulation or PRC Authority for the disposition of these records.
14. Current quantity of records to be disposed of expressed in linear feet.
15. Enter brief organizational, program and records background descriptions, including dates, change of organizational or branch names, reason for one-time Authority, legislation, and general items on this submission, such as "these records are restricted to Employee Relations Officers, Personnel Division". Include the name of the department that created the records, if **not** the Department making the submission.
16. Number each item consecutively, including subitems if necessary. When scheduling administrative records use the ARDA item number as a cross-reference to identify and describe the records. All other items should be numbered consecutively.
17. Describe the content of each item, including forms, purpose, copy or original, or the function of the record series. Plan and arrange in a logical order, preferably to reflect the file plan, by category, block, then alphabetically by subject.
18. If one-time disposition, show the earliest and latest dates of the records. If a continuing Authority, show earliest dates and the words **To Date.**
19. Show the number of years you recommend the records included in this item be retained in your department including the Alberta Records Centre calculated from last date of the document on file. If otherwise, attach a specific qualifying phrase or other acceptable criteria.
20. Final disposition recommended — destruction or transfer to the Provincial Archives.

21. Use when restriction applies only to specific item or items. Enter all relevant access information immediately following the item or mark with asterisk (*) **and explain at the bottom of each page.** (Note: It is not recommended to list restrictions at the end of all the items listed). Indicate restriction, why, how long restriction is for, and who (position) may authorize release. For one-time authority enter year, example 2089, after which access is no longer restricted.
22. Completed by Public Records Committee. Additional comments or changes to the proposed final disposition.
23. Enter page number of total pages. If there is not sufficient room to list all the records on this form, use additional supplement Form PRC 2.

The procedure is as follows:

1. The form should be completed by the public records officer or delegate in triplicate. It is required that the PRO sign all submissions even though the PRO may not have completed the form.

2. The first and second copies are to be sent to the Public Records Committee, and the third copy is retained by the PRO for record purposes. It is not necessary to submit a covering memo or letter, unless additional information must be brought to the attention of the Committee.

3. After amending and authorizing the Disposition Authority, the Public Records Committee will sign and enter an Approval Number in the box provided in the top right-hand corner and return the second copy to the PRO. The first copy will be retained by the Committee for its records.

4. The PRO may proceed with the implementation of the disposition upon receipt of the second copy as amended and approved by the Committee. Enter the Approval Number on the third copy.

5. Prior to implementation a department must complete the Public Records Transfer PWSS 0121 form and forward it to the Provincial Archives for confirmation, if the PRC Authority identifies archival interests, and the Records Management Branch (Alberta Records Centre) for disposal arrangements.

6. When destruction has taken place, the Records Management Branch (Alberta Records Centre) will send the PRO copies of the Destruction Certificate for retention in your department.

Appendix E1

Alberta
PUBLIC WORKS, SUPPLY AND SERVICES

REQUEST FOR RECORDS DISPOSITION AUTHORITY

PUBLIC RECORDS COMMITTEE APPROVAL
87/XXX

PUBLIC RECORDS COMMITTEE

■ New Request ☐ Amendment to Previous Request

Total Number of Pages 2

TO SECRETARY, PUBLIC RECORDS COMMITTEE
PROVINCIAL ARCHIVES OF ALBERTA
12845 - 102 AVENUE, EDMONTON, T5N 0M6

Department or Agency: Agriculture

Branch and/or Unit whose Records are for Review: Production

Location of Records (room, floor, address): 3rd Floor, 7000 - 113 Street

Edmonton

Contact Person: Gwen Berry

Telephone: 427-5312

NOTIFICATION TO DEPARTMENT

In accordance with the provision of Sections 3(a) and 4(1) of the Public Record Regulation (Alta. Reg. 373/83), and issued by virtue of section 2.1 of the Department of Public Works, Supply and Services Act, Chapter D25.5, 1983, the disposition request, as amended below, is approved.

X. X. XXXXXX

CHAIRMAN, PUBLIC RECORDS COMMITTEE

Feb. 26/87

DATE

CERTIFICATE OF PUBLIC RECORDS OFFICER

I hereby certify that I am authorized to act for this department in matters pertaining to the disposition of the department's records and that the records proposed for disposition are no longer needed for the business of this department or will not be needed after the retention periods specified.

Name/Public Records Officer (Please Type)	Date	Signature
Charles MacFarlan	25 Jan. 1987	Xxxx Xxxxxxxxx

DESCRIPTION OF RECORDS

(If amendment, include only data for item being changed)

Physical Form of Records		Arranged By
■ Files	☐ Mag. Tapes	■ Subject Classification
☐ Microfilm	☐ Disc Packs	☐ Name
☐ Maps/Plans	☐ Other (Specify)	☐ Number
		☐ Other (Specify)

Continuing Authority	Quote Existing Disposition Authority	Total Quantity in Cubic Feet		
		Records Centre	Archives	Destroy
■ Yes ☐ No	None	50	2	107

Organizational and Records Background/Description/Access Restrictions

The Production sector undertakes research, generates and transfers production technology, provides services and promotes practices to assist farm families and processors to maximize their financial returns. The Production sector consists of four divisions; Animal Health, Dairy, Animal, and Plant Industry. The following Acts apply: Dairy Industry Act. Department of Agriculture Act, Livestock and Livestock Products Act, Marketing of Agricultural Products Act and Weed Control Act. All records listed are operational.

ITEM LISTING

(For amendments, show existing authority first, with requested changes underneath.)

ITEM NO.	DESCRIPTION OF ITEM (describe series purpose, and indicate if related to HQ or Field Office)	DATES (range)	KEEP (Years) DEPT	KEEP (Years) HQ	FINAL DISPOSITION (Dest. or Arch.)	RESTRICT ACCESS (Years)	AMENDMENTS BY COMMITTEE
	ANIMAL HEALTH						
1.	Meat Hygiene - Inspection of plants and livestock including condemnation, enforcement activities, violations and convictions.	1979 to date	2	6	Selective Retention	10 Years	

Alberta

PUBLIC WORKS, SUPPLY AND SERVICES

REQUEST FOR RECORDS DISPOSITION AUTHORITY – SUPPLEMENT

PUBLIC RECORDS COMMITTEE

ITEM NO.	DESCRIPTION OF ITEM (Include series number and indicate if related to H.Q. or Field Office)	DATES (range)	DEPT	RO	FINAL DISPOSITION (Dest. or Arch.)	RESTRICT ACCESS (Years)	AMENDMENTS BY COMMITTEE
2.	Preventive Medicine - Animal health programs include prevention and control of disease in livestock, safeguarding human health, sale of livestock medicine.	1975 to date	2	4	Destroy		
	DAIRY						
3.	Dairy Processing - Inspection of dairy manufacturing plants, laboratory analysis, sampling and testing of bulk milk, dairy manufacturing plant licences, the centralization of fluid milk processing, cheese plant upgrading.	1978 to date	2	3	Destroy		
4.	Dairy Cattle Improvement - Dairy Herd Improvement program including performance testing and milk production, genetic recovery program for grade cattle.	1979 to date	2	4	Destroy		
	ANIMAL INDUSTRY						
5.	Pork Industry - production, marketing and financial information to assist port producers; organization of the Alberta Pork Seminar, extension programs.	1975 to date	2	3	Selective Retention		
6.	Poultry - Programs for poultry production improving efficiency and farm income, keeping poultry products competitive; research in grading, poultry health programs, salmonella detection.	1974 to date	2	3	Destroy		
	PLANT INDUSTRY						
7.	Crop Protection - Programs in weed control, plant pathology, vertebrate pest control including training and extension activities.	1979 to date	2	3	Destroy		
8.	Soils - Fertilizer placement, methods of handling and application, soil tests, sample tests, applied research Activities.	1978 to date	2	5	Selective Retention		

Appendix E2

Alberta
PUBLIC WORKS, SUPPLY AND SERVICES

REQUEST FOR RECORDS DISPOSITION AUTHORITY

PUBLIC RECORDS COMMITTEE

☐ New Request ■ Amendment to Previous Request

Total Number of Pages 1

TO SECRETARY, PUBLIC RECORDS COMMITTEE
PROVINCIAL ARCHIVES OF ALBERTA
12845 - 102 AVENUE, EDMONTON, T5N 0M6

Department or Agency
Public Affairs Bureau

Branch and/or Unit whose Records are for Review
Audio-Visual Services

Location of Records (room, floor, address)
Main Floor, Queen's Printer Building
11510 Kingsway Avenue, Edmonton

Contact Person: Linda Hutchinson
Telephone: 422-1234

NOTIFICATION TO DEPARTMENT

In accordance with the provision of Sections 3(a) and 4(1) of the Public Record Regulation (Alta. Reg. 373/83), and issued by virtue of section 2.1 of the Department of Public Works, Supply and Services Act, Chapter D25.5, 1983, the disposition request, as amended below, is approved.

CHAIRMAN, PUBLIC RECORDS COMMITTEE

DATE

CERTIFICATE OF PUBLIC RECORDS OFFICER

I hereby certify that I am authorized to act for this department in matters pertaining to the disposition of the department's records and that the records proposed for disposition are no longer needed for the business of this department or will not be needed after the retention periods specified.

Name/Public Records Officer (Please Type): Valerie Seidel
Date:
Signature:

DESCRIPTION OF RECORDS

(If amendment, include only data for item being changed)

Physical Form of Records		Arranged By
■ Files	☐ Mag. Tapes	■ Subject Classification
☐ Microfilm	☐ Disc Packs	☐ Name
☐ Maps/Plans	☐ Other (Specify)	☐ Number
		☐ Other (Specify)

Continuing Authority	Quote Existing Disposition Authority	Total Quantity in Cubic Feet		
		Records Centre	Archives	Destroy
■ Yes ☐ No	79/112			

Organizational and Records Background/Description/Access Restrictions

The Audio Visual Services of Public Affairs Bureau provides services, consulting and training to all government departments. It offers services in film processing, photography and audio-visual productions such as audio tape, film, video tape, slide/tape and slide and slide/sync/sound, either through in-house resources or through the use of the private sector. It maintains a photograph library (slides and negatives), a film library, and tool crib (a collection of audio-visual equipment available for loan on a charge back basis).

ITEM LISTING

(For amendments, show existing / shortly first, with requested changes underneath.)

ITEM NO.	DESCRIPTION OF ITEM (describe series, purpose and indicate if related to H.Q. or Field Offices)	DATES (range)	KEEP (Years) DEPT	KEEP (Years) REC	FINAL DISPOSITION (Dest. or Arch.)	RESTRICT ACCESS (Years)	AMENDMENTS BY COMMITTEE
	EXISTING AUTHORITY PRC 79/112						
4.	Photograph Library - Collection Management - Catalogue - documentation pertaining to the compilation and maintenance of the library's catalogue	1983 to present	3	2	Selective Retention		
	TO BE AMENDED AS FOLLOWS:						
4.	Photograph Library - Collection Management - Catalogue - documentation pertaining to the compilation and maintenance of the library's catalogue. Reasons: Retention period changed to reflect need. Library catalogue used until superceded or obsolete.	1983 to present	Until superceded or obsolete then	2	Selective Retention		

Extension of One-Time Disposition Authorities

All one time Disposition Authorities shall automatically lapse one calendar year after the date on which they were approved by the Public Records Committee, or sixty days after the final disposition is to take place, if the final disposition is more than one calendar year from when the disposition authority was approved.

1. If a department requires an extension of a one-time disposition authority, the **time frames** (in all cases) will be interpreted as follows:

   a on a schedule that does not have any departmental or inactive (Alberta Record Centre) retention periods prior to final disposition, the length of the extension will be calculated from one calendar year after the schedule was approved. For example, with a six month extension to a schedule approved by the PRC in February 1985, the schedule would not lapse until the end of August 1986.

   b on a schedule that includes both departmental and inactive (Alberta Record Centre) retention periods, the length of the extension would be added to the departmental retention period and the ARC retention period would be reduced accordingly. For example, with a one calendar year extension to a schedule that called for one year in the department and four years in the ARC before final disposition, the overall length of the retention period would not be increased, but merely modified to 2 years in the department and 3 years in ARC.

   c on a schedule that includes a departmental retention period prior to final disposition, the length of the extension would merely be added to the departmental period. For example, with one calendar year extension to a schedule that stipulated 5 years in the department before final disposition, the departmental retention period would simply be increased to 6 years.

2. If a department requires an extension to a one-time disposition authority of one calendar year or less, the procedures are as follows:

   a the PRO is to request such an extension in a memorandum to the secretary of the PRC in which the following will be explained:

      — why is it necessary (reason/justification)
      — how long an extension is needed
      — is it to apply to all items on a disposition authority or just particular ones. If the latter, please specify.

   b if the PRO does not supply adequate or accurate information in requesting an extension, the Secretary will then request additional information or clarification before reaching a decision.

   c after the PRC approves an extension, the PRO will be notified in writing with a copy to the Records Management Branch.

3. If a department requires an extension to a one-time disposition authority of more than one year, the procedures are as follows:

   a the PRO is to request such an extension in a formal amendment to the existing authority

   b the information provided on the PRC 1 and 2 forms and its format must conform to Appendix E2 with the following exception:

      — as neither final dispositions, access restrictions, if any, or any amendments by the Committee are being altered by the proposed amendment, it is not necessary to include this information on the PRC 1 and 2 forms. As the item description will also remain unchanged by the amendment they can be more concise than those that appear on the existing authority (lengthy and very detailed descriptions of items, particularly on multiple page schedules, can be reduced significantly).

If realistic time lines and departmental capabilities are taken into consideration when one time disposition authorities are being prepared, the number of potential extension requests can be kept to a bare minimum.